

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.		500155.06	March 16, 2004
First Inventor or Application Identifier		Guy F. Hudson	
Title	SYSTEMS FOR MAKING AND USING BI-MODAL ABRASIVE SLURRIES FOR MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC-DEVICE SUBSTRATES		
Express Mail Label No.		EL 646074244 US	

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

1. <input checked="" type="checkbox"/> Fee Transmittal Sheet (+ copy) (Submit an original and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)		
2. <input type="checkbox"/> Applicant(s) Claim(s) Small Entity Status	8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)		
3. <input checked="" type="checkbox"/> Specification [Total Pages] (preferred arrangement set forth below)	31	a. <input type="checkbox"/> Computer-Readable Form (CRF)	
- Descriptive Title of the Invention			
- Cross References to Related Applications			
- Statement Regarding Fed sponsored R & D			
- Reference to Microfiche Appendix			
- Background of the Invention			
- Brief Summary of the Invention			
- Brief Description of the Drawings (if filed)			
- Detailed Description			
- Claim(s)			
- Abstract of the Disclosure			
4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets]	5	b. <input type="checkbox"/> Specification Sequence Listing on:	
i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or			
ii. <input type="checkbox"/> paper			
c. <input type="checkbox"/> Statement verifying identity of above copies			
5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages]	1	<b>ACCOMPANYING APPLICATION PARTS</b>	
a. <input type="checkbox"/> Newly executed (original or copy)			9. <input type="checkbox"/> Certification Under 35 U.S.C. 122(b)(2)(B)(i)
b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)			10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)			11. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney (when there is an assignee)
6. <input checked="" type="checkbox"/> Application Data Sheet (37 C.F.R. 1.76)		12. <input type="checkbox"/> English Translation Document (if applicable)	

## 18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

Continuation  Divisional  Continuation-In-Part (CIP) of prior Application No.: 10/155,203 Filed May 23, 2002

Prior application information: Examiner Lan Vinh Group / Art Unit 1765

 Incorporation By Reference (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

Claims the benefit of Provisional Application No. \_\_\_\_\_

**CORRESPONDENCE ADDRESS**

Mark W. Roberts, Ph.D.  
Dorsey & Whitney LLP  
1420 Fifth Avenue, Suite 3400  
Seattle, Washington 98101-4010  
(206) 903-8800 phone / (206) 903-8820 fax

**Customer No. 27,076**

TYPED or PRINTED NAME Mark W. Roberts, Ph.D.

REGISTRATION NO. 46,160

SIGNATURE 

Date 4-1-04

# FEE TRANSMITTAL SHEET (FOR FY 2004)

Complete if Known	
Express Mail No.	EL 646074244 US
Filing Date	Concurrently Herewith
First Named Inventor	Guy F. Hudson
Group Art Unit	Not Yet Assigned
Examiner	Not Yet Assigned
Atty. Docket Number	500155.06

## METHOD OF PAYMENT (Check One)

1.  The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2.  Check Enclosed

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	770	2001	385	<input checked="" type="checkbox"/> Utility Filing Fee
1002	340	2002	170	<input type="checkbox"/> Design Filing Fee
1003	530	2003	265	<input type="checkbox"/> Plant Filing Fee
1004	770	2004	385	<input type="checkbox"/> Reissue Filing Fee
1005	160	2005	80	<input type="checkbox"/> Provisional Filing Fee

Subtotal (1) **\$ 770**

### 2. EXTRA CLAIM FEES

Current Claims	Prior	Extra	Fee	Fee Paid
Total 31	- 20	= 11	x \$ 18	= <b>\$ 198</b>
Ind. 3	- 3	= 0	x \$ 86	= <b>\$ 0</b>
Multiple Dependent Claims			x \$	= \$

Subtotal (2) **\$ 198**

### Large Entity      Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent Claim
1204	86	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee paid
		1051	130	2051	65 Surcharge - Late filing fee or oath
		1052	50	2052	25 Surcharge - late provisional filing fee or cover sheet
		1053	130	1053	130 Non-English specification
		1812	2,520	1812	2,520 For Filing a Request for ex parte Reexamination
		1804	920	1804	920 Requesting publication of SIR prior to Examiner action
		1805	1,840	1805	1,840 Requesting publication of SIR after Examiner action
		1251	110	2251	55 Extension for reply within first month
		1252	420	2252	210 Extension for reply within 2 <sup>nd</sup> month
		1253	950	2253	475 Extension for reply within 3 <sup>rd</sup> month
		1254	1,480	2254	740 Extension for reply within 4 <sup>th</sup> month
		1255	2,010	2255	1,005 Extension for reply within 5 <sup>th</sup> month
		1401	330	2401	165 Notice of Appeal
		1402	330	2402	165 Filing a brief in support of an appeal
		1403	290	2403	145 Request for oral hearing
		1814	110	2814	55 Terminal Disclaimer Fee
		1452	110	2452	55 Petition to revive – unavoidable
		1453	1,330	2453	665 Petition to revive – unintentional
		1501	1,330	2501	665 Utility/Reissue issue fee
		1502	480	2502	240 Design issue fee
		1503	640	2503	320 Plant issue fee
		1460	130	1460	130 Petitions to the Commissioner
		1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
		1806	180	1806	180 Submission of IDS
		8021	40	8021	40 Recording each patent assignment per property (times number of properties)
		1801	770	2801	385 Request for Continued Examination (RCE)

Other fee (specify)

Subtotal (3) **\$ 0**

Total Amount of Payment: **\$ 968**

Submitted by:

Name: Mark W. Roberts, Ph.D.      Reg. No.: 46,160      Telephone: (206) 903-8800

Signature:  Date: 4-1-04

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Guy F. Hudson

Attorney Docket No.: 500155.06

Filed : April 1, 2004

Title : SYSTEMS FOR MAKING AND USING BI-MODAL ABRASIVE SLURRIES  
FOR MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF  
MICROELECTRONIC-DEVICE SUBSTRATES

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

MAIL STOP PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 646074244 US, on April 1, 2004, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
DORSEY & WHITNEY LLP

  
\_\_\_\_\_  
/ for West Courier

MWR:pep

Enclosures:

Postcard  
Check  
PTO/SB/05 Utility Patent Application Transmittal  
Application Data Sheet  
Fee Transmittal Sheet (+ copy)  
General Authorization  
Preliminary Amendment  
Specification, Claims, Abstract (31 pages)  
5 Sheets of Drawings (Figures 1-5)  
Copy of Declaration  
Copy of Election and Power of Attorney  
Copy of Revocation and Substitute Power of Attorney  
Information Disclosure Statement and PTO-1449

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Guy F. Hudson

Attorney Docket No.: 500155.06

Filed : Concurrently Herewith

Title : SYSTEMS FOR MAKING AND USING BI-MODAL ARASIVE SLURRIES FOR  
MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF  
MICROELECTRONIC-DEVICE SUBSTRATE ASSEMBLIES**GENERAL AUTHORIZATION**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

4-1-04



Mark W. Roberts, Ph.D.  
Registration No. 46,160

MWR:pep

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